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CHAPTER 2 ROLES AND RESPONSIBILITIES

2.1 INTRODUCTION

Within Caltrans, the responsibility for administering and managing the Federal and State local assistance highway programs resides in the Office of Local Programs. This headquarters' office is under a department program named Design and Local Programs. Each of the twelve Caltrans districts has a District Local Assistance Engineer (DLAE) who is the local agency's primary contact for processing projects, provides assistance for local agency development efforts, and answers questions. Exhibit 2-A shows the current district boundaries.

The responsibility for implementing individual projects on the local streets, roads and other transportation systems resides with the local agencies, principally the cities and counties.

STATE FUNDED PROJECTS

State funded local assistance projects must be developed in accordance with policy and procedural requirements as specified in State law, and by the California Transportation Commission (CTC) and Caltrans. These State policies and procedural requirements are separate from Federal requirements. It is Caltrans' policy to provide these funds to local transportation programs with a minimum of State oversight. However, because procedures vary with each State funding program the *Local Assistance Program Guidelines* should be referenced for a detailed explanation of the roles and responsibilities.

FEDERAL-AID PROJECTS

The Federal Highway Administration (FHWA) is the Federal agency most typically involved in the transportation projects undertaken with Federal funding for the programs discussed in this manual. It has the authority and responsibility for implementing and monitoring Federal laws, regulations and executive orders affecting these programs. When a project involves Federal funding, the FHWA is involved according to these responsibilities and the delegations and stewardship agreements described below. When another Federal agency has permit jurisdiction or other role in development of a project, the FHWA frequently becomes involved in the process as either lead or co-lead Federal agency.

Caltrans has obtained major delegations of authority and/or responsibility from FHWA as allowed under the provisions of the Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991 and previous Transportation Acts. With the recent reengineering of local assistance procedures, Caltrans has passed on these delegations to local agency partners to the greatest extent possible. With each delegation goes the responsibility for initiating and completing each project phase in accordance with the appropriate State and Federal laws and regulations without extensive FHWA or State oversight.

Federal-aid projects must be included in the approved Federal Statewide Transportation Improvement Program (FSTIP). This inclusion must precede fund authorization for any activity if Federal-aid funds are being sought. The responsibility for selecting the program of projects for inclusion in the urbanized area Federal TIPs (FTIP) resides with the Metropolitan Planning Organizations. The County Transportation Commissions and Regional Transportation Planning Agencies also have a role in programming projects for the FSTIP and the State funded STIP. Their selections must be done in consultation with the State, cities, counties and other transportation agencies within the area. The FTIPs are incorporated into the FSTIP. Caltrans works with the non-MPO local agencies to program projects in the FSTIP.

Exhibit 2-B, “Federal-Aid Local Assistance Responsibilities,” outlines the roles and responsibilities of those involved in local Federal-aid transportation projects. The chapters in this manual provide the details for carrying out these responsibilities.

2.2 NATIONAL HIGHWAY SYSTEM

ISTEA established provisions for Congress to adopt a National Highway System (NHS) of 155,000 miles of major roads in the United States. The system is established to provide an interconnected system of principal arterials that serve major population centers, international border crossings, ports, airports, public transportation facilities, intermodal transportation facilities, and other major travel destinations; meet national defense requirements; and serve interstate and interregional travel.

Until Congress made its official adoption, the NHS was defined as all principal arterials, including the Interstate system. On November 28, 1995 the President signed the legislation defining the NHS. The system includes all Interstate routes, a selection of urban and rural principal arterials, the defense strategic highway network and strategic highway connectors.

In California, about 180 miles of local agency principal arterials were selected to be a part of the NHS. Some procedures in this manual for projects on the NHS are different from those for projects not on the NHS (non-NHS). One of the early local agency determinations should be whether the project is on the NHS or not.

See *Local Assistance Program Guidelines*, Chapter 3, “Federal-Aid Routes & Functional Classifications,” for further discussion and a listing of the local agency NHS routes.

2.3 CERTIFICATION ACCEPTANCE

Under the provisions of Section 117 of Title 23 USC, the FHWA approved Caltrans’ initial request for “Certification Acceptance” in 1977. With this approval and subsequent amendments, the FHWA delegated many of their Title 23 project review and oversight responsibilities to the State for the Local Assistance Program. Within Caltrans, many of the project implementation responsibilities were delegated to the district level to speed project processing.

2.4 STEWARDSHIP - LETTERS OF AGREEMENT

In response to the efficiencies provided in ISTEA, Caltrans and the Federal Highway Administration entered into “Letters of Agreement” (Stewardship Agreements)

wherein Caltrans was granted additional exemption from FHWA project review and oversight (for project authorization, preliminary engineering and construction-related activities) on certain Federal-aid projects. This exemption applies to all projects off the National Highway System (non-NHS) and for Resurfacing, Restoration, and Rehabilitation (3R)¹ and projects costing less than \$1 million on the National Highway System (see Figure 2-1).

The following work type definitions will be used when determining the degree of FHWA project level involvement and oversight. The initial determination will continue throughout the project development process unless there is a major change in estimated construction cost.

New Construction - is defined as a new transportation facility that did not previously exist in the corridor or as the addition of an interchange. The addition of appurtenances to an existing facility, such as striping, signs, signals, noise barriers, etc. are not considered new construction.

Reconstruction - consist of (as defined for Stewardship purposes only):

1. Addition of a lane (except climbing or auxiliary lanes)
2. Significant change in horizontal and/or vertical alignment
3. Reconstruction of an interchange by adding directional movements or relocating ramps (widening ramps for storage, turning movements or ramp metering are not included)
4. Replacement of an entire bridge or the major parts of an existing bridge (in such a manner that it is effectively a new bridge)
5. Seismic retrofit projects for the following:
 - Major or unusual structures (all tunnels, unusual and movable bridges, unusual hydraulic or geotechnical structures or bridges with a total deck area greater than 125,000 square feet)² or
 - Construction costs greater than \$5 million per structure
6. Major modifications to Traffic Management Centers

Since only a few local agency streets and roads are on the NHS, most local projects are exempt from direct FHWA review and oversight. Certification Acceptance procedures apply to most of the remaining projects. Projects on or impacting the Interstate system require FHWA project by project review.

As with Certification Acceptance, the activities mandated by Acts other than ISTEA and Title 23 are not delegated or exempted.

Chapter 2, Section 2.7 of the Caltrans *Project Development Procedures Manual* describes the FHWA role in more detail.

¹ All work that does not fall under the definition of New Construction or Reconstruction is considered “3R” for purposes of exemption.

² See *Federal Aid Policy Guide* G6012.1 for detailed definitions or consult your DLAE and FHWA engineer.

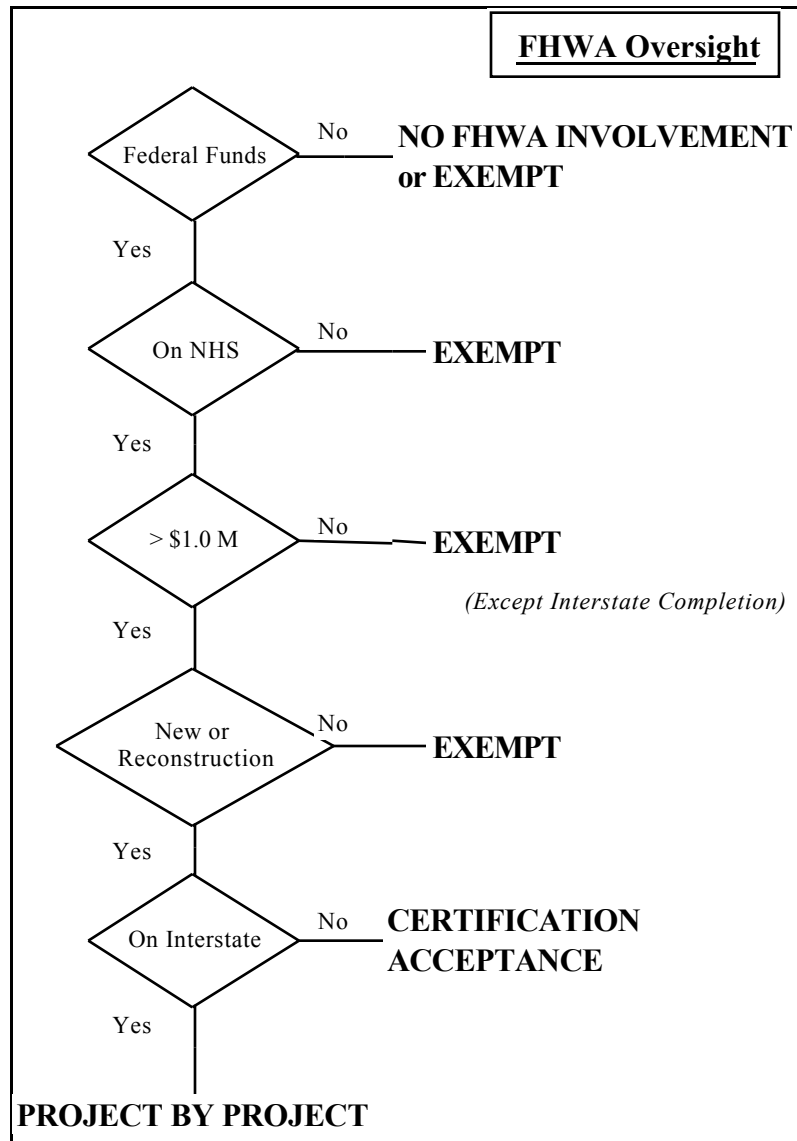


Figure 2-1 *FHWA Oversight*

2.5 RIGHT OF WAY CERTIFICATION DELEGATION

In addition to the delegations discussed above, the FHWA has also approved Caltrans' request for delegation of right of way certificate approval for projects considered exempt per the stewardship agreements. Procedures for processing local agency right of way certifications are described in Chapter 13, "Right of Way," of this manual.

2.6 REENGINEERING OF LOCAL ASSISTANCE PROCEDURES

PROJECTS OFF THE NATIONAL HIGHWAY SYSTEM (NON-NHS)

Effective July 1, 1995, the reengineering of local assistance procedures gave local

agencies additional responsibility and accountability for non-NHS projects. Many of the responsibilities delegated to Caltrans under Certification Acceptance and the Stewardship - Letters of Agreement were further delegated to the local project sponsors. Caltrans' preliminary engineering and construction review and approval activities ended and other activities involving environmental reviews, project authorization, Disadvantaged Business Enterprises, consultant selection, and agreement procedures were streamlined to eliminate duplication of effort and multiple reviews.

PROJECTS ON THE NATIONAL HIGHWAY SYSTEM (NHS)

Effective with the publication of this manual, the delegation of responsibilities to local agencies described above for non-NHS projects also applies for NHS projects. With the following exceptions (discussed in detail in the appropriate chapters of this manual), procedures are the same for both types of projects.

FIELD REVIEWS

Caltrans will make the decision whether to hold a field review for NHS projects that are not exempt from FHWA oversight (i.e., under "Certification Acceptance" or "nonexempt" per Figure 2-1 "FHWA Oversight"). Generally, a field review will only be required for major projects (over \$10 million, involving unusual structures, or projects on a corridor involving more than one agency). NHS projects that are not considered "major" will not require the PS&E and construction administration approvals described below.

PS&E PROCEDURES FOR MAJOR NHS PROJECTS

When Caltrans requires a field review for major NHS projects, PS&E procedures (standards, agencies involved, use of consultants, project management, specifications, etc.) will be discussed. These procedures will be put in writing for Caltrans' approval before final design is initiated. With approval, the local agency will then certify their PS&E(s) for these projects the same as they do for non-NHS projects upon completion of the PS&E. Caltrans will not review the PS&E(s) unless requested and resources are available, or as part of a process review. NHS projects that are not considered "major" will not require this approval step.

DESIGN STANDARDS

Local agencies are required to use only AASHTO, 3R and other design standards approved for use on NHS projects. Locally-approved design standards are not allowed on NHS projects, however, the local agency may approve exceptions on a project by project basis.

METHOD OF CONSTRUCTION

Exceptions to competitive bid contracts must be approved by Caltrans for non-exempt projects.

RESTRICTED CONSTRUCTION CONTRACT PROVISIONS

Warranty clauses and the use of proprietary items are restricted on NHS projects.

CONSTRUCTION ADMINISTRATION FOR MAJOR NHS PROJECTS

When Caltrans requires a field review for major NHS projects, the local agency's

construction administration procedures (staging, agencies involved, use of consultants, project management, quality assurance, etc.) will be discussed. These procedures will be put in writing for Caltrans' approval before the Request for Authorization for Construction is approved. Caltrans will not review the construction administration unless requested and resources are available, or as part of a process review.

QUALITY ASSURANCE PROGRAMS

Local agencies shall use the Quality Assurance Program described in this manual for projects on the NHS. Caltrans will be responsible for performing Independent Assurance Sampling and Testing (IAST).

FINAL INSPECTION

The FHWA will make a final inspection of completed nonexempt projects.

2.7 FHWA RESPONSIBILITIES

As discussed above, the FHWA has the overall authority and responsibility for implementing and monitoring Federal laws, regulations and executive orders. For local projects that involve Federal funding, the FHWA's responsibilities typically involve Project Implementation and Process Review activities.

PROJECT IMPLEMENTATION

For all Federal-aid projects, the FHWA is responsible for the following project implementation activities:

- Obligation of Federal funds
- Approval of NEPA and other federally required environmental documents
- Execution of Project Agreement (PR-2 Federal/State agreement)

For projects that are under Certification Acceptance per the stewardship agreements, the FHWA is also responsible for the following activities:

- Authorization to Proceed
- Specific Authorization for Utility Relocation
- Approval of Right of Way certifications (Right of Way Required)
- Final Inspection

OVERSIGHT

NHS - For projects on the NHS, the FHWA has overall responsibility for ensuring compliance with all Federal requirements.

Non-NHS - For projects off the NHS, FHWA responsibility for ensuring compliance with Federal requirements is limited to non-Title 23 activities (environmental, right of way and civil rights).

While it is the FHWA's policy to rely primarily on their Program Review/Product Evaluation Program to carry out these responsibilities, other process review techniques, including project-specific activities may be used when appropriate.

2.8 CALTRANS RESPONSIBILITIES

Caltrans is responsible to the FHWA for administering the successful implementation of Federal-aid programs and projects. Caltrans also administers the implementation of State funded programs and projects for the California Transportation Commission (CTC) and State legislature.

These responsibilities are divided into three areas: Policy and Procedures, Program Management and Project Implementation.

POLICY AND PROCEDURES

Caltrans establishes uniform policies and procedures to assist the local agencies in meeting the program requirements for their projects. Caltrans in collaboration with FHWA interprets Federal and State laws, rules and regulations and provides guidance in the form of manuals, guidebooks, handbooks, reference materials and service, and training to assist the agencies in planning, designing, constructing, and maintaining their transportation systems.

Caltrans' policy and procedure development are achieved in coordination and consultation with the FHWA, representatives of local agencies, MPOs, RTPAs and other affected agencies and organizations.

PROGRAM MANAGEMENT

Each specific local assistance program provides funding which requires distribution, management and oversight control to ensure that the funds are expended to meet the program goals and that allocations and budget authority are not exceeded. Caltrans distributes both State and Federal fund allocations to the MPOs, RTPAs, cities, counties and others as specified by law.

Once the distributions are established, Caltrans provides program guidance for their expenditure. Some programs may require annual or periodic project application and selection to establish eligibility lists. Caltrans also monitors project implementation to ensure that the projects are implemented in a timely manner to achieve program goals. Reports are prepared to summarize the implementation progress for each program. The *Local Assistance Program Guidelines* manual describes each current program.

PROJECT IMPLEMENTATION

Some major Federal-aid project implementation steps delegated by the FHWA to Caltrans cannot be further delegated to the local agency level and remain Caltrans' responsibility. These include:

- Approval of Authorization to Proceed (E-76) for projects that are exempt
- Preparation of agreements
- Decision to hold Field Review for NHS projects
- Approval of Local Agency DBE Program/Annual Goal
- Pre-award audit of consultant contracts >\$250,000
- Approval of Utility Relocation Agreements involving Federal reimbursement
- Approval of Specific Authorization for Utility Relocation involving Federal reimbursement

- Independent Assurance Sampling and Testing (IAST) for NHS projects
- Approval of payments from the State Controller

The individual chapters covering these topics should be consulted for details concerning the responsibilities. Where the FHWA has not delegated final approval, Caltrans monitors local agency activities, reviews or prepares documents and makes recommendations to FHWA. For example, Caltrans will review all environmental documents for completeness and sufficiency before submitting them to FHWA for approval.

Caltrans also provides assistance to the local agencies in interpreting the regulations, manuals and guidelines as they apply to specific project conditions. The District Local Assistance Offices and Headquarters Office of Local Programs personnel are available to aid the local agency through the required process and procedural steps.

Where expertise is not otherwise available, the local agency may also request assistance from Caltrans' technical specialists in solving special technical problems. Environmental issues, right of way concerns, hazardous wastes, labor compliance, equal employment opportunity, Title VI, and Disadvantage Business Enterprise are among these areas where assistance is available. The use of this expertise must be requested early and be well coordinated to assure that Caltrans' limited resources and personnel will be available when needed.

PROCESS REVIEWS

As outlined in Chapter 19 of this manual, Caltrans will use the process review as the main method for determining if local agencies are in compliance with all Federal-aid laws, regulations, and procedures. The process reviews will be used to evaluate all aspects (including Title 23 requirements) of the local agencies Federal-aid program and to improve local assistance procedures.

MAINTENANCE REVIEWS

Annually, Caltrans reviews project maintenance for selected agencies using Federal-aid funds so that every agency is covered during a four year cycle. Chapter 18 in this manual describes these maintenance review procedures in detail.

2.9 CITY, COUNTY AND OTHER LOCAL PUBLIC AGENCY RESPONSIBILITIES

The cities, counties, joint power authorities, transit agencies and other public agencies have the primary responsibility for implementing the specific projects which carry out the programs described in this manual. Nonprofit entities may also qualify for this. For the purpose of this manual, these agencies/entities are commonly called local agencies.

PROJECT IMPLEMENTATION

The local agency is responsible for the conception, planning, programming, environmental investigation, design, construction and maintenance of the projects on their local transportation system. It must ensure that its staff members, consultants and contractors comply with the applicable State and Federal laws, regulations, and procedures in developing and constructing its projects.

If a local agency has never implemented a Federal-aid or State funded project or does so infrequently, it should review the processes with the DLAE prior to beginning any implementation activity. It may wish to seek the administrative services of another agency which is more familiar with the process and procedure details.

The local agency is delegated full decision making authority and responsibility for most design and construction related activities on Federal-aid projects. These include:

- Getting the project into the FSTIP
- Preparing the Request for Authorization for each project phase
- Decision to hold field review for projects off the NHS
- Determine/Approve project DBE goal
- Select consultant and approve consultant contracts
- Approve local design standards for projects off the NHS
- Approve design exceptions
- Prepare and Certify PS&E (Caltrans must approve the local agencies' PS&E procedures for large, complex, corridor-type NHS projects)
- Qualify/select right of way consultants
- Certify right of way
- Right of Way acquisitions and relocation
- Prepare and approve Quality Assurance Programs (non-NHS projects only)
- Advertise and award construction project
- Construction contract administration and inspection (Caltrans must approve the local agencies construction administration procedures for high cost, complex, corridor-type NHS projects)
- Construction contract acceptance (FHWA will make final inspection of projects that are not exempt)
- Coordinate Railroad agreements
- Contract compliance

The individual chapters covering these topics should be consulted for details concerning the responsibilities.

2.10 CALIFORNIA TRANSPORTATION COMMISSION

The California Transportation Commission (CTC) has programming and fund allocation responsibility for some Federal-aid and State funded programs used for local assistance projects. It is the responsibility of the local agency to notify the DLAE to request a CTC vote where applicable.

PROGRAMMING

The CTC selects projects for inclusion in the State Transportation Improvement Program for the following programs:

- Transportation Enhancement Activities (TEA) (Federal)
- Flexible Congestion Relief (FCR)
- Proposition 116 - Bicycle Program
- Environmental Enhancement and Mitigation (EEM) Program

FUND ALLOCATION

When a project is ready for implementation, the CTC must vote to allocate funding to the following programs. This action is commonly called the "second vote."

- Transportation Enhancement Activities (TEA) (Federal)
- Flexible Congestion Relief (FCR)
- Transportation Systems Management (TSM)
- Proposition 116 - Bicycle Program
- EEM Program

2.11 METROPOLITAN PLANNING ORGANIZATIONS, REGIONAL TRANSPORTATION PLANNING AGENCIES AND COUNTY TRANSPORTATION COMMISSIONS

These organizations have broad transportation planning duties and responsibility for programming most projects using Federal-aid or State allocations from the programs described in this manual.

These organizations are responsible for providing each local agency with their application rules, procedures and timelines. They are also responsible for providing the local agency with results of the decisions about its projects and the agency, CTC and Federal approval dates.

The local agency must work closely with these organizations to ensure that its projects are placed in the appropriate TIP with the correct funds in the proper years. Federal funds and many State funds cannot be obtained without this programming step.

Chapter 4 of the Caltrans *Project Development Procedures Manual* discusses the programming process in more detail.

2.12 OTHER PUBLIC AGENCIES AND ORGANIZATIONS

Other Federal, State, regional and local entities may have an interest, role or jurisdiction in the development and implementation of a local project. Examples at the Federal level include the Environmental Protection Agency, the Corps of Engineers or the National Forest Service. At the State level, examples include the Department of Fish and Game, Air Resources Board or the Office of State Historic Preservation. Regional agencies would include the Air or Water Quality Control Boards or Flood Control Districts.

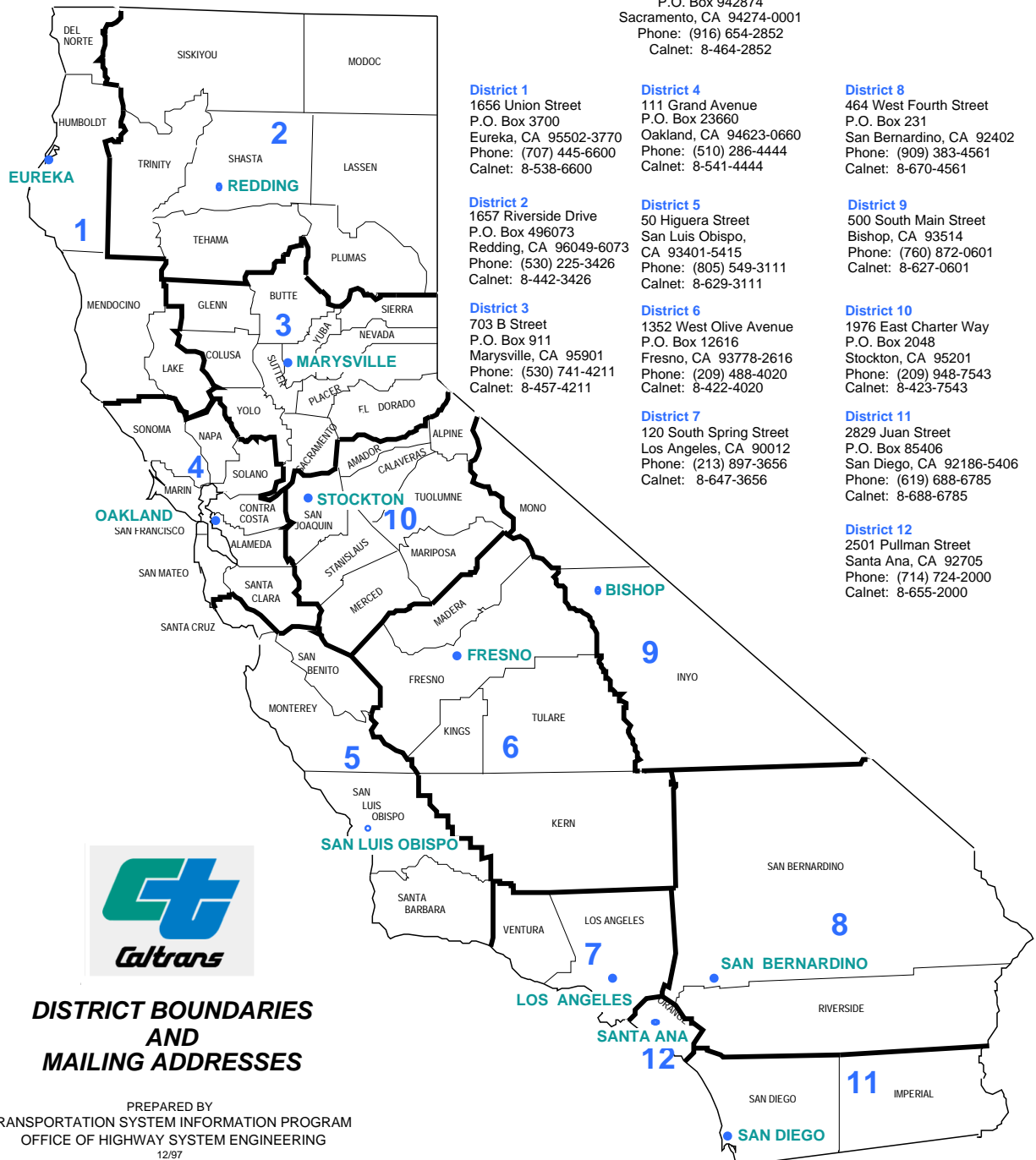
The State Resources Agency selects the projects to be funded by the CTC for the Environmental Enhancement and Mitigation (EEM) program.

The role of these agencies will vary with the project scope, location and environmental impact. Coordination should begin early to prevent critical delays later in the project development.

Quasi-public or nonprofit organizations may apply for and receive programmed funds for some programs, notably Environmental Enhancement and Mitigation. These agencies must follow the same rules and regulations which apply to any other local agency developing a State or Federal-aid funded project. When such an agency does not have a full staff of administrative, engineering, contracting, or accounting personnel, Caltrans encourages it to work through a local agency which can provide these services and is familiar with the applicable rules.

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DISTRICT BOUNDARIES
AND
MAILING ADDRESSES

PREPARED BY
TRANSPORTATION SYSTEM INFORMATION PROGRAM
OFFICE OF HIGHWAY SYSTEM ENGINEERING
12/97

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FEDERAL-AID LOCAL ASSISTANCE RESPONSIBILITIES				
ACTIVITY	Projects on the National Highway System (NHS) (Excluding Interstate ¹)		Projects not on the NHS	COMMENTS
	Cert. Acceptance	Exempt	Exempt	
	(New or Reconstruction > \$1 million)	(< \$1 million or 3R)		
Project Authorizations (Chapter 3)				
Prepare "Request for Authorization"	Local Agency	Local Agency	Local Agency	
Approve "Authorization to Proceed" (E-76) for each project phase	FHWA	State	State	Authorization must precede any reimbursable activities.
Obligate Funds	FHWA	FHWA	FHWA	
Agreements (Chapter 4)				
Prepare Agreements	State			
Execute Master Agreement/Program Supplements	Local Agency/State			
Execute PR2/2A	State/FHWA			
Invoices (Chapter 5)				
Prepare Invoices	Local Agency			
Approve Payment	State			
Environmental Procedures (Chapter 6)				
Conduct preliminary investigations and complete Preliminary Environmental Studies form (PES)	Local Agency			
Determine applicability of Programmatic CE	State			
Conduct and document appropriate technical studies and prepare NEPA document (CE,EA,EIS)	Local Agency			Complete PES and attend early coordination meeting before starting technical studies.
Review environmental documentation and NEPA document	State			
Approve/Process NEPA document and other required Federal environmental documentation	FHWA			

¹ Projects on or impacting the Interstate will require a project-by-project review by FHWA. For these and all projects on State highways, the agency should coordinate closely with the DLAE and District Project Development Manager to insure that all required authorizations/obligations and other reviews and approvals are obtained in a timely manner and in accordance with State highway development procedures. Early consultation with FHWA will aid in coordination for necessary involvement and needed approvals, if any.

FEDERAL-AID LOCAL ASSISTANCE RESPONSIBILITIES				
ACTIVITY	Projects on the National Highway System (NHS) (Excluding Interstate ¹)		Projects not on the NHS	COMMENTS
	Cert. Acceptance	Exempt	Exempt	
	(New or Reconstruction > \$1 million)	(< \$1 million or 3R)		
Field Review (Chapter 7)				
Decision to hold Field Review	State (See Comments)	Local Agency	Local Agency	State required Field Reviews limited to high cost, complex, corridor-type NHS projects.
Prepare Field Review Form	Local Agency	Local Agency	Local Agency	
Attend/Sign Field Review Form	Local Agency, State and FHWA	Local Agency	Local Agency	State and FHWA will attend all required NHS Field Reviews, and others when appropriate.
Public Hearings (Chapter 8)				
Decision on Type of Public Hearing	Local Agency			Formal or Open Forum
Approval to circulate EA/EIS	FHWA			Public hearings are held after the EA or Draft EIS has been approved.
Civil Rights/Disadvantaged Business Enterprises (Chapter 9)				
Provide Civil Rights Assurances	Local Agency (In Master Agreement and Program Supplements)			
Complaint Investigations/Contractor Compliance	Local Agency			May be assisted by State
Local Agency Compliance Reviews	State/FHWA			
Approve Local Agency DBE Annual Goal	State			
Determine/Approve Project DBE Goal	Local Agency			
Consultant Selection (Chapter 10)				
Select Consultant and approve contract	Local Agency			
Pre-award audit	State			Limited to Contracts >\$250,000

¹ Projects on or impacting the Interstate will require a project-by-project review by FHWA. For these and all projects on State highways, the agency should coordinate closely with the DLAE and District Project Development Manager to ensure that all required authorizations/obligations and other reviews and approvals are obtained in a timely manner and in accordance with State highway development procedures. Early consultation with FHWA will aid in coordination for necessary involvement and needed approvals, if any.

FEDERAL-AID LOCAL ASSISTANCE RESPONSIBILITIES				
ACTIVITY	Projects on the National Highway System (NHS) (Excluding Interstate ¹)		Projects not on the NHS	COMMENTS
	Cert. Acceptance	Exempt	Exempt	
	(New or Reconstruction > \$1 million)	(< \$1 million or 3R)		
Design Standards (Chapter 11)				
Approve Local Design Standards	N/A	N/A	Local Agency	Local agencies shall use AASHTO/3R standards for projects on the NHS.
Approve Design Exceptions	Local Agency	Local Agency	Local Agency	
Plans, Specifications & Estimates				
Approve PS&E Procedures	State	Not required	Not required	State approval of PS&E procedures limited to major NHS projects
Approve Exceptions to Competitive Bid Contracts	State	Local agency	Local agency	
Approve Incidental Force Account Work	Local Agency	Local Agency	Local Agency	
Approve use of Proprietary Items	Local Agency	Local Agency	Not Required	
Approve Warranty Clauses	Local Agency	Local Agency	Not Required	
Prepare and Certify PS&E	Local Agency	Local Agency	Local Agency	
Accept PS&E Certification	State	State	State	State approval of PS&E procedures required for major NHS projects before State will accept PS&E Certification
Right of Way (Chapter 13)				
Qualify Local Agencies	State			
Qualify/Select Consultants	Local Agency			

¹ Projects on or impacting the Interstate will require a project-by-project review by FHWA. For these and all projects on State highways, the agency should coordinate closely with the DLAE and District Project Development Manager to ensure that all required authorizations/obligations and other reviews and approvals are obtained in a timely manner and in accordance with State highway development procedures. Early consultation with FHWA will aid in coordination for necessary involvement and needed approvals, if any.

FEDERAL-AID LOCAL ASSISTANCE RESPONSIBILITIES				
ACTIVITY	Projects on the National Highway System (NHS) (Excluding Interstate ¹)		Projects not on the NHS	COMMENTS
	Cert. Acceptance	Exempt	Exempt	
	(New or Reconstruction > \$1 million)	(< \$1 million or 3R)		
Right of Way (Chapter 13) -continued				
R/W Acquisition/Relocation Assistance	Qualified Local Agency/Consultants			
Certify R/W	Local Agency			
Accept R/W Certification	State			
Approve R/W Certification	FHWA	N/A	N/A	
Utilities (Chapter 14)				
Approval of Utility Relocation Agreements involving Federal reimbursement	State	State	State	
Specific Authorization for Utility Relocation involving Federal reimbursement	FHWA	State	State	
Utility Certification	Local Agency	Local Agency	Local Agency	See R/W Certifications
Advertise/Award Project (Chapter 15)				
Approve Local Agency Construction Administration Procedures	State	Not Required	Not Required	State approval of procedures limited to major NHS projects.
Local Agency Construction Administration Certification	Local Agency	Local Agency	Local Agency	Not applicable for major NHS projects.
Accept Local Agency Construction Administration Certification	State	State	State	Not applicable for major NHS projects.
Advertise Project	Local Agency	Local Agency	Local Agency	Authorization to Proceed (E-76) required prior to advertisement

¹ Projects on or impacting the Interstate will require a project-by-project review by FHWA. For these and all projects on State highways, the agency should coordinate closely with the DLAE and District Project Development Manager to ensure that all required authorizations/obligations and other reviews and approvals are obtained in a timely manner and in accordance with State highway development procedures. Early consultation with FHWA will aid in coordination for necessary involvement and needed approvals, if any.

FEDERAL-AID LOCAL ASSISTANCE RESPONSIBILITIES				
ACTIVITY	Projects on the National Highway System (NHS) (Excluding Interstate ¹)		Projects not on the NHS	COMMENTS
	Cert. Acceptance	Exempt	Exempt	
	(New or Reconstruction > \$1 million)	(< \$1 million or 3R)		
Advertise/Award Project (Chapter 15) -continued				
Award Project	Local Agency	Local Agency	Local Agency	
Prepare Award Package	Local Agency	Local Agency	Local Agency	Detail Estimate, Finance Letter, Award Checklist, <i>RE Checklist</i> , and Report of DBE Awards
Administer Construction Project (Chapter 16)				
Approve Local Quality Assurance Program	N/A	N/A	Local Agency	Local agencies are required to use Caltrans' approved QAP for projects on the NHS.
Contract Administration and Inspection	Local Agency	Local Agency	Local Agency	
Independent Assurance and Sampling Testing (IAST)	State	State	Local Agency	
Approve Contract Change Orders	Local Agency	Local Agency	Local Agency	
Project Completion (Chapter 17)				
Accept Contract	Local Agency	Local Agency	Local Agency	
Verify Completion	State	State	State	
Final Inspection	FHWA	Local Agency	Local Agency	
Final Report of Expenditures	Local Agency	Local Agency	Local Agency	
Maintenance (Chapter 18)				
Maintain projects constructed with Federal-aid funds	Local Agency			
Maintenance monitoring	State			
Process Reviews (Chapter 19)				
Title 23 Activities	FHWA/State	FHWA/State	State	
Non-Title 23 Activities	FHWA/State	FHWA/State	FHWA/State	NEPA, Uniform Act, etc.

¹ Projects on or impacting the Interstate will require a project-by-project review by FHWA. For these and all projects on State highways, the agency should coordinate closely with the DLAE and District Project Development Manager to ensure that all required authorizations/obligations and other reviews and approvals are obtained in a timely manner and in accordance with State highway development procedures. Early consultation with FHWA will aid in coordination for necessary involvement and needed approvals, if any.

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